

FORM PTO-1390  
(REV 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE ATTORNEY'S DOCKET NUMBER

10873.704USWO

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)  
Unknown 09/807865

PRIORITY DATE CLAIMED

October 21, 1998

INTERNATIONAL APPLICATION NO.

PCT/JP99/05771

INTERNATIONAL FILING DATE

October 19, 1999

TITLE OF INVENTION

OPTICAL INFORMATION RECORDING MEDIUM, AND METHOD AND APPARATUS FOR RECORDING/REPRODUCTION

APPLICANT(S) FOR DO/EO/US

NISHIUCHI et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
- ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
- ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
- ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: International Search Report; International Preliminary Examination Report and translation; PCT Request and translation; PCT/IB/301; PCT/IB/304; PCT/IB/308; Demand and translation; PCT/IB/332; PCT/IB/338

532 Rec'd PCT/PTO 19 APR 2001

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

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AT PTO'S DOCKET NUMBER

100000704USWO

CALCULATIONS PTO USE ONLY

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):**

Search Report has been prepared by the EPO or JPO.....\$860.00

International preliminary examination fee paid to USPTO  
(37 CFR 1.492(a)(1)).....\$690.00No international preliminary examination fee paid to USPTO (37 CFR 1.482)  
but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$710.00Neither international preliminary examination fee (37 CFR 1.482) nor  
international search fee (37 CFR 1.445(a)(3)) paid to USPTO.....\$1000.00International preliminary examination fee paid to USPTO (37 CFR 1.482)  
and all claims satisfied provisions of PCT Article 33(2)-(4).....\$100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =** \$860.00Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	30	-20 = 10	X \$18.00	\$180.00
Independent claims	10	-3 = 7	X \$80.00	\$560.00
			+ \$260.00	\$0

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

**TOTAL OF ABOVE CALCULATIONS =** \$1600.00Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed  
pursuant to 37 CFR 1.27**SUBTOTAL =** \$1600.00Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).**TOTAL NATIONAL FEE =** \$1600.00Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property**TOTAL FEES ENCLOSED =** \$1640.00Amount to be:  
refunded \$0  
charged \$0a. ☒ Check(s) in the amount of \$1600.00 and \$40.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 13-2725.**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137(a) or (b)) must be filed and granted to restore the application to pending status.SEND ALL CORRESPONDENCE TO:  
Douglas P. Mueller  
MERCHANT & GOULD  
P.O. Box 2903  
Minneapolis, MN 55402-0903

SIGNATURE:

NAME: Douglas P. Mueller

REGISTRATION NUMBER: 30,300

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

09/807865

Applicant: NISHIUCHI et al.  
 Docket: 10873.704USWO  
 Title: OPTICAL INFORMATION RECORDING MEDIUM, AND METHOD AND APPARATUS  
 FOR RECORDING/REPRODUCTION

## CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EL669941680US

Date of Deposit: April 19, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

By:

Name: Yolanda Gray

BOX PATENT APPLICATION  
 Assistant Commissioner for Patents  
 Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 34 pgs; 30 claims; Abstract 1 pg.  
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ 12 sheets of formal drawings
- ☒ A signed Combined Declaration and Power of Attorney
- ☒ Assignment of the invention to Matsushita Electric Industrial Co., Ltd., Recordation Form Cover Sheet
- ☒ A check in the amount of \$1600.00 to cover the Filing Fee
- ☒ A check for \$40.00 to cover the Assignment Recording Fee.
- ☒ Other: PTO-1390; Preliminary Amendment; International Search Report; International Preliminary Examination Report and translation; PCT application as filed; PCT Demand and translation; Request and translation; PCT/IB/301; PCT/IB/304; PCT/IB/308; PCT/IB/332; PCT/IB/338
- ☒ Return postcard

## CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
<b>Basic Filing Fee</b>								\$860.00
<b>Total Claims</b>								
30	-	20	=	10	x	18.00	=	\$180.00
<b>Independent Claims</b>								
10	-	3	=	7	x	80.00	=	\$560.00
MULTIPLE DEPENDENT CLAIM FEE								\$0.00
TOTAL FILING FEE								\$1600.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
 P.O. Box 2903, Minneapolis, MN 55402-0903  
 (612) 332-5300

By:

Name: Douglas P. Mueller  
 Reg. No.: 30,300  
 Initials: DPM/tvm



(PTO TRANSMITTAL - NEW FILING)